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ABSTRACT

Over 60 members of the State University of New York at Stony Brook faculty and staff worked for almost a year to develop a comprehensive strategic plan for the University Libraries, the first phase of which is presented here. The process, which began in the spring of 1991, consisted of three phases: (1) Organization--meeting of the planning team to prepare statements of mission, values, and vision, and write an environmental scan; (2) Study--task forces conduct studies of the following areas: administration, collection development, technology, public services, document delivery, public relations, staff development, and facilities; and (3) Conclusions and recommendations--preparation of this final report. The Libraries' environment, missions, values, and vision are discussed. Five major themes recur throughout the report, warranting special attention in the implementation process: responsiveness to clients; communication; interinstitutional access and cooperative efforts; technology; and transition to a new environment--the library without walls. Sixty-eight recommendations are provided, with explanatory notes or comments when appropriate, that aim to move the library toward the task force's strategic vision. The task force recommendations fall in these general categories: to develop and maintain collections; to increase access to information; to develop human resources; to improve facilities and equipment; to increase public relations and development; and to create a more responsive organizational structure. (MAS)

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ED 377 841

STRATEGIC DIRECTIONS, 1992-1997:

A PLAN FOR THE UNIVERSITY AT STONY BROOK LIBRARIES

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The University at Stony Brook Libraries
Stony Brook, New York
September, 1992

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Director's Preface

Over sixty members of the Stony Brook faculty and staff, including key representatives from outside the Libraries, have worked intensively for almost a year to complete this first phase of a comprehensive strategic plan. The following report summarizes that work and presents 68 recommendations designed to move the libraries toward their strategic vision. Some of the recommendations are immediately actionable, some must be deferred for later action, and some require more study. Also, there are several important general recommendations that require specification. It is now up to library administration, in consultation with appropriate groups and individuals, to establish implementation priorities and to decide on specific actions to address the general concerns.

As indicated in the following document, 12 of the task force recommendations have already been acted on or are in process. There are several other major recommendations that I will be discussing with the Implementation Team for early consideration. These include the following:

* Place library-owned CD-ROM installations in a local area network as soon as possible.

* Assess the practicality of using commercial document delivery services such as CARL and CitaDel.

* Until a training and staff development officer can be designated, form a committee to coordinate these functions.

* Document, and make widely available, library policies and procedures.

* Create a small committee to examine each functional area of the system [with regard to space utilization].

There are also several specific actions arising from the more general task force recommendations that I will be considering for early implementation. These include:

* Reconfigure and consolidate staff areas where possible in order to free space for public use. For example: consider consolidating technical services operations in order to free space in the core building.

* Remove old card catalog cabinets from service areas and convert space to other use with the objective of increasing reader capacity.

* Create a compact storage facility in the main library basement, east wing, to accommodate overflow from stacks and branches.

* Add furnishings in public areas where unused space exists (current periodicals, stacks, reference, etc.) to increase reader capacity.

* Combine audio visual services with another service unit in order to increase ease of access and efficiency.

* Combine the map section with another service unit in order to increase efficiency of staff utilization.

* Combine financial and personnel operations in acquisitions, photocopy, and administration to form an office of personnel and budget that will provide improved coordination and functionality.

* Investigate patron preference and satisfaction in order to improve responsiveness of services.

* Consider adoption of Total Quality Management (TQM) as a management technique to improve productivity and quality of services.

* Develop the Marine and Atmospheric Sciences Information Center (MASIC) as a prototype electronic library.

The planning process is, of course, ongoing and subject to continuous revision. Comments and suggestions from any member of the academic community are most welcome.

John Brewster Smith
Director of Libraries and Dean
October 2, 1992

File A:preface

STRATEGIC DIRECTIONS, 1992-1997:

A PLAN FOR THE UNIVERSITY AT STONY BROOK LIBRARIES

Introduction

During the past two decades academic research libraries have been involved in gradual technological change. Many functions, such as cataloging, acquisitions and circulation, have been automated to improve efficiency and expand services without increasing staffing. More recently, breakthroughs in computing and communications technology have accelerated the rate of change and presented libraries with opportunities to offer services never before feasible. What was earlier a gradual process of change has become something akin to revolution.

Other forces also motivate change in our libraries. Following decades of unprecedented prosperity and growth, university libraries now face the long-term prospect of declining budgets or, at best, steady financing, at the very time high inflation rates for library materials are further eroding purchasing power. Burgeoning demand for information and services adds more pressure. A strategic plan to manage and direct this rapid, inevitable change is now a clear necessity.

THE PROCESS

The decision to undertake a formal process of strategic planning for the Stony Brook Libraries was made in the summer of 1991. In order to make the process as efficient and useful as possible, it was decided to utilize methodology developed by the Association of Research Libraries, Office of Management Services (ARL/OMS) and to engage Susan Jurow, Director of ARL/OMS, as consultant and facilitator.

The process, which started in the fall of 1991, consisted of three phases:

1. Organization.

   The consultant conducted a two-day retreat for key library staff members. The purpose was to discuss and explore the planning process and to develop a sense of the libraries' mission, values, and vision. A planning team comprised of the director and 10 library staff members was then appointed to coordinate the process, and to direct the activities of eight task forces. This team prepared statements of mission, values, and vision, and wrote an environmental scan.

2. Study.

Task forces comprised of library staff members and faculty from various academic departments conducted studies of assigned areas. Their work was guided and informed by the statements of mission, values and vision, and by the environmental scan. The task forces were:

1) Administration and Organizational Systems;
2) Collection Development;
3) Systems, Technical Services and Information Technologies;
4) Public Services;
5) Document Delivery and Resource Sharing;
6) Public Relations and Development;
7) Training and Staff Development;
8) Facilities.

Each task force prepared a written report including recommendations.

3. Conclusions and Recommendations.

Based on the reports of the task forces, the planning team prepared this final report.

The consultant made visits to Stony Brook at the beginning of each of the three phases and was in touch with the process throughout by telephone and electronic mail.

THE ENVIRONMENT

The World Environment

The world environment of the late twentieth century is characterized by rapid change accompanied by economic and political instability. Technological innovation as well as societal reform are important sub-currents. Universities and their libraries are deeply affected by this volatile world environment, but they are also in a position to influence and improve the global condition. Some of the general environmental factors that most affect libraries such as Stony Brook's include the following:

- the ongoing economic recession, which is likely to persist, to some degree, for several more years;
- the increasing reluctance or inability of government at all levels to fund higher education, research, and libraries;
- the rapid price inflation of library materials, which is expected to continue;
- the reexamination and adjustment within higher education in response to budgetary, curricular, social, ethical, and public-perception issues;
- the new patterns of scholarly communication, including new formats;
- the new information technologies.

The Environment Within the University

Stony Brook is a young public research university committed to excellence. Its missions encompass education, research, and health care. Its organization, while reflecting some of the unique characteristics of the institution, is not unlike that of many research universities of similar size.

The institution functions within the larger bureaucracies of the State University of New York and the State of New York. Bureaucratic problems, including delays and lack of responsiveness, are not unusual.

The vast majority of undergraduate students at Stony Brook are drawn from Long Island and the New York metropolitan area. Undergraduate instruction is offered in 46 academic majors and 44

minors. The university has acquired a reputation in some quarters of promoting graduate programs and research at the expense of undergraduate education. In order to attract and retain better qualified undergraduates, and to meet enrollment targets, the institution has designated as a priority the improvement of undergraduate programs and the quality of student life.

Graduate programs are offered in more than 50 areas. The university aspires to maintain graduate programs of only the highest quality. Programs that do not attain a desired standard are therefore vulnerable to de-emphasis or elimination. The institution draws graduate students from national and international pools. Sixteen percent are citizens of foreign countries, ten percent are members of U.S. minority groups, and fifty-six percent are women.

The faculty is distinguished. A high standard of excellence in research and teaching is required for appointment, retention and promotion. A further tightening of standards is expected, due to a determination to improve quality in the face of diminishing resources.

Sponsored research is an important part of the Stony Brook scene, with about $72.4 million budgeted in 1990-91. Though an agency of the State of New York, Stony Brook receives only about 36 percent of its budget from direct state appropriation. The remainder comes from various sources--most importantly, grants from the federal government.

Difficult as it is to project trends in the face of rapid changes, it seems clear that Stony Brook will continue to strive for excellence and will work to retain its status as a nationally ranked research university. Due to economic and societal pressures, it will likely be more selective in those areas in which it seeks preeminence.

Environment Within the Libraries

The Stony Brook library system, like its parent university, has grown rapidly to prominence. In 1974 it was recognized by admission to the Association of Research Libraries, which consists of 107 of the largest and best research libraries in North America. Its rapid growth has been both a liability and an asset. On the one hand, staff morale has been adversely affected by the tremendous effort required to support the growth, often with less than adequate resources. On the other hand, antiquated procedures and arrangements, built up over past ages, are less a problem than in many older libraries.

The collections, developed intensively during the 1960's and early 1970's, are surprisingly rich in selected areas, but are

smaller in total than those found at many older institutions. The current growth rate of about 35,000 volumes annually is expected to continue for at least the next several years, with strongest emphasis on maintaining an adequate flow of currently published materials. Trends toward acquiring material in alternate formats (principally electronic) and toward remote access as an alternative to purchase, will continue.

The utilization of computer and communications technologies to improve the university community's access to information will continue and expand. The NOTIS/STARS system has been under active development for several years and will continue to be enhanced by new features and sub-systems. Inter-system links with other libraries, now under development, will help provide the infrastructure to support essential cooperative programs.

The library staff, which numbered as high as 175 in the 1970's, now totals 137; of these, 41 are professional librarians holding faculty rank and status. The staff is represented by two unions: United University Professions (UUP) for faculty and professionals and the Civil Service Employees Association (CSEA) for civil-service staff. There is a strong likelihood that fiscal pressures will force further staff reductions. In order to accommodate changing needs, some reallocation of existing staff has already taken place, and this trend is expected to continue.

The libraries' public and technical services are well developed. In order to provide the state-of-the-art services crucial to researchers, however, it will be necessary to reallocate resources to support only the most vital services, be they new or existing. An assessment of user needs and preferences will therefore be necessary. This assessment could be viewed as parallel to those undertaken for the university's academic and research programs.

The libraries' physical facilities, most of which are relatively new, are nonetheless in need of major refurbishment and expansion. Additional space is needed for readers, for book storage, and for equipment required to support new technologies. Correction of various defects in the infrastructure also is an urgent priority.

The organization of the libraries is similar to that found in many universities of its type and size. The management style is hierarchical, with a strong tradition of participation by faculty and staff at all levels. The annual budget of about $7.7 million annually is almost entirely derived from state sources.[1] It is,

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[1] Note: Since this scan was prepared, the library's entire OTPS budget was converted to IDC (research) funding. The impact of this change is not yet known.

therefore, subject to highly complex governmental regulations and to the vicissitudes of the state political scene.

Existing activities directed toward public relations and development are minimal and need to be reviewed and expanded. External cooperative programs are mostly in the planning and experimental stages. Both of these areas will be increasingly important in adjusting to the conditions of the emerging new era of information service.

THE MISSIONS

The Stony Brook University Libraries have two primary missions:

First Mission

Serve the university community by providing access to resources of intellectual content needed to support the university's missions of education, service, and research. As an important but secondary responsibility, serve also the New York State community, particularly Long Island. Acquire, organize, and preserve appropriate resources. Provide adequate and timely access to other resources, wherever they reside. Promote awareness and use of library resources and services; assist patrons in using the collections and in locating and interpreting information.

Second Mission

Promote a climate conducive to the advancement of learning and free inquiry at all levels, with attention to the principles of intellectual freedom.

THE VALUES

Flexibility and Adaptability

The controlled revolution characterized by erosion of financial support, technological innovation and increasing emphasis on access as opposed to ownership which the libraries have been experiencing in the last decade will continue into the next decade. The libraries' response to this revolution has depended to a large extent on the ability of the staff to anticipate problems and to develop strategies for their solution. Acceleration of technology during a period of shrinking resources will test the flexibility and adaptability of staff to an even greater degree than has occurred in the past. That the Stony Brook Libraries were able to implement major operational changes with OCLC, RLG/RLIN and NOTIS/STARS with only minor disruptions indicates that with proper leadership revolutionary changes can continue in an orderly manner.

Cooperation and Understanding

Reorganization and restructuring will be necessary if the libraries are to realize maximum benefit from technology. Reevaluation of the way resources are allocated will also be a continuing process. These processes will require staff to become familiar with the objectives of the libraries as a whole and to develop their operations to serve and promote those objectives.

Strong departmental allegiances have developed as the Stony Brook Libraries have concentrated on building collections and developing services for a burgeoning university. In addition, rapid development has encouraged individualism among staff: problems arose that needed immediate solutions, and staff occasionally responded without a full awareness of the implications of their actions. In the future, staff will need to have an appreciation not only of their own department's role, but also of the roles of all other units in the deliver of library services. For the libraries to function most effectively, staff will need to work closely and cooperatively across departmental lines as members of teams within one and the same organization. In this environment, the "team player" with a broad view of library and information service and a commitment to the goals of the entire organization is highly valued.

Intelligence and Ingenuity

The Stony Brook Libraries should encourage staff to continue to use their intelligence and ingenuity to solve problems and to be increasingly sensitive to the impact their actions will have on other units and on the libraries as a whole. The prospect that available resources will continue to decrease over the next few years requires a clear definition of the goals and objectives of the libraries and the university. Some library programs and operations may be eliminated or required to perform with fewer resources. Staff may be asked to do more with less, but it will be imperative that the tasks they set out to do are the most appropriate for the institution as a whole.

Commitment to Client-Centered Service

The libraries will need to devote extraordinary attention to the development of collections, human resources and services in response to the urgent needs of users. The libraries pride themselves on their reputation for service. This service orientation must continue, with increased emphasis on determining and meeting individual needs. Through various technological systems, users will have access to a vast array of information in a wide variety of formats, but they will depend on library staff to introduce them to the range of resources available and to teach them techniques for accessing each resource. Many users, especially undergraduates, will need assistance in evaluating the

sources and, indeed, even the completeness and validity of the information itself.

THE VISION

Facilities

The libraries will be housed in attractive environments with adequate space, properly allocated and efficiently arranged. Remote, compact storage will be in use.

Collections, Access, Document Delivery

Collections will be maintained and preserved in traditional and non-traditional formats, to meet the instructional and research needs of a diverse institution. Access and document delivery to and from other collections will be an important component of the libraries' mission. Cooperative activities with other agencies will play a greater role in meeting user needs.

Information Access and Delivery

Electronic/remote access will be provided to library holdings and to scholarly information elsewhere on campus as well as to other information resources. Such access will be both by end users and mediated techniques. PACLink and STARS (including MDAS), for example, will be important components.

Staff

The libraries will maintain a highly educated, trained, and adaptable staff with a high level of expertise. Continuing professional development and training will be a regular component of the libraries' program. Library faculty will make important contributions to the profession at large.

Organization

Compared to 1991, the organization will be flatter, more flexible, and less compartmentalized, with smooth lines of communication. Effective leadership will exist at all levels.

Services

Public services will be molded to the requirements and characteristics of each subject discipline and will be highly responsive to user needs. Technology will play a central role in accessing and delivering needed information.

MAJOR THEMES OF THE STUDIES

Several themes or issues recurred throughout the task force reports. These are obviously of prime importance and will be given special attention as implementation proceeds. The key themes are as follows:

1. Responsiveness to Clients

   The principle of "client centered operations" is vital and must be used in establishing and evaluating library services of all sorts. Though it appears in the task force reports mostly by implication, it is obviously an underlying consideration throughout. In its simplest form it asks the question: Does this activity, expenditure, service, etc., benefit the user? If the answer is no, then we shouldn't be doing it.

2. Communication

   Communication at any time is important, but in times of rapid change, it is vital. Communication to facilitate coordination and cooperation among library units emerges as a concern in several of the task forces. Communication with outside constituencies such as faculty, students, and administration is also cited. Documentation and dissemination of policies and procedures, design and distribution of publications for informational and public-relations purposes, and communication to increase professional awareness all are identified as areas needing attention.

3. Interinstitutional Access and Cooperative Efforts

   Access and cooperation are said to be at the heart of the emerging 21st-century library and information service. The new paradigm calls for expanding availability of information by promoting remote access as a supplement or alternative to local ownership. It holds, also, that objectives too expensive, too difficult or too massive to undertake singly can be accomplished cooperatively. It is important to recognize that libraries are still very much in a transitional stage with respect to delivering this type of service, but it is clearly the wave of the future. Full benefit from our investments in new technology cannot be realized until we are firmly in this mode. We cannot hope to meet the burgeoning demand for access to information in any other way. At present, enhanced interlibrary loan, telefacsimile, document delivery, alternate formats presentation, and limited cooperative agreements of various sorts make up Stony Brook's operational programs in this area. PACLink,

Ariel, centralized storage, and many more innovations will be in our future.

4. Technology

Technology is at once the engine that drives much of the change faced by libraries and the means of meeting burgeoning information demands in an economically constrained environment. Full development of NOTIS/STARS, the libraries' integrated online system, is basic and enters into virtually every aspect of the planning study. Technology in support of resource sharing and cooperation, and in the delivery of new services and resources is another important consideration. Technology also is identified in the studies as a crucial factor influencing organizational patterns, staff training, and budget allocation.

5. Transition to a New Environment: The Library Without Walls

The transitional period, which we are now in and which will continue for some time, is awkward and uncomfortable. The present state of technology and financial resources will not allow immediate migration to the new environment, even when we are certain of the path to be taken. The present situation amounts to living in two worlds. Some of our patrons are totally in one world, others totally in the other, still others straddle the boundary. The libraries must be on both sides--the traditional and the technological, and this will continue to be necessary, perhaps indefinitely. Again, mostly by implication, this factor touches virtually every part of the planning study.

TASK FORCE RECOMMENDATIONS

Following are the recommendations that appeared in the reports of the eight task forces. They are grouped here under six general topics. Each recommendation has been categorized by the planning team as "In Process or Completed," "Do Now," "Do Later," "Needs More Information/Further Study," or "Wish List." In some cases, the recommendations were reworded for clarity or consistency. In a few cases, similar recommendations were consolidated. A strong effort was made to include a fair representation of every recommendation that appeared in any of the eight reports. When appropriate, explanatory notes or comments accompany the recommendations.

I. Develop and maintain collections in support of academic and research programs.

Numerous factors, including innovative technology, diminishing financial resources, and growing demand for information in many formats will influence the local effort. Change in the organization and operation of collection development to accommodate financial constraints and to take advantage of beneficial techniques and outside services already used extensively by most other large university research libraries is mandatory. Studies to help in planning needed changes are recommended. The literature search and studies undertaken by the Task Force on Collection Development confirm the necessity for significant change.

Important factors cited by the task force as influencing collection development include the "flat growth rate" of the collections, due mostly to high inflation; the need for better communication between all participants in the process; the need for written policies and procedures; the desirability of systematic assessment of collection strengths and weaknesses; and the need to inventory existing collections.

The task force amassed an impressive array of background information that will be useful in guiding implementation of the recommendations. Included are: surveys of academic department chairs and selectors; a statement on the relationship of preservation to other library programs; a brief history of collection development at Stony Brook; a recognized assessment and ranking of research and doctoral programs in the U.S.; and descriptions of the OCLC/Amigos Collection Analysis System and the ARL/OMS Collection Analysis Project.

RECOMMENDATIONS

A. IN PROCESS OR COMPLETED

1. Expand approval-plan coverage as much as feasible. Develop guidelines to assist Acquisitions and selectors in maximizing the benefits of the expanded plan.

2. On a continuing basis, review subscriptions for serials and periodicals and evaluate their importance with respect to academic programs and to the strengths, missions, and goals of the university. Revise the subscription list accordingly.

3. Complete the writing and editing of a Selectors Manual and the Collection Development Policy.

4. Carry out the ARL/OMS Collection Analysis Project to identify strengths and weaknesses in the collections AND in the libraries' organization for collection development.

5. Analyze strengths and weaknesses of the collection by using the OCLC/AMIGOS Collection Analysis System in conjunction with lists of the holdings of peer institutions.

6. Establish a standing committee, appointed and charged by the Director, to act as a clearing house for information on new technology and as an advisory board on the purchase of information in new or alternative formats.

B. DO NOW (BEGIN FY 1992/93)

7. Prepare for the impact of the NOTIS automated acquisitions system on collection development and preservation.

8. Define performance programs for members of the bibliographic searching pool so that adequate support for selection and collection evaluation is available.

9. Increase visibility, awareness, and understanding of the collection development program within the academic community.

C. DO LATER (WITHIN NEXT 2-5 YEARS)

10. Develop a system for allocating resources (i.e., the library materials budget) which reflects the strengths, missions, and goals of the university. Special attention should be given to funding the acquisition and maintenance of information technologies in the libraries.

11. Increase support of current preservation programs (book conservation, brittle book program and commercial binding). Increase visibility and understanding of preservation within the libraries and in the university.

12. Find outside funding for expansion of the preservation program.

II. Increase Access to Information

By grouping a series of recommendations under the heading "Increase Access to Information," the libraries are reaffirming the centrality of this goal to their mission, recognizing the challenges and opportunities presented by new technologies of information management, and determining that it is both necessary and reasonable to exploit these technological developments.

The recommendations which follow define specific steps to be taken in order to achieve this goal. They recognize the wide range and diversity of information formats and access technologies: local and remote databases and catalogs, stand-alone workstations and networked environments, CD-ROM, magnetic tape, telefacsimile, and other document formats and delivery systems. They also acknowledge the persistence of more "traditional" formats and the need to continue collecting and improving access to such resources. Along these lines are recommendations concerned with access to materials in Special Collections and periodicals on microfilm, as well as a recommendation on the need to make collections accessible during explicitly defined hours. In fact, themes which run through many of the task force reports are the difficulty of finding a workable balance between the old and the new, and the demands such a transitional environment make on human and other resources.

The recommendations recognize the need to provide and facilitate access to a wide array of information services without sacrificing ease of use for those who are not technologically sophisticated. To meet this need, the NOTIS system--specifically its online-public-catalog component (STARS)--is proposed as the central access point, or gateway, to this complex and evolving universe of information. As stated in the report of the Task Force on Public Services, "The centralization of the online catalog in the information stream seems to be a reasonable goal to pursue. Two immediate benefits which can be derived from such centralization are: first, accessibility from any appropriately configured workstation on or off campus; second, with a system such as PACLink, the use of a single command language to access both local and remote databases." To this end are recommendations for expanding and enhancing the NOTIS system: (1) internally, by improving system access to collections such as government documents, microforms, and the Social Sciences Data Lab, and by

completing implementation of the acquisitions and serials modules; (2) externally, by implementing PACLINK and MDAS; and (3) structurally, by moving to a client-server model, and later integrating the system into a scholar's workstation environment. As noted in the report of the Task Force on Systems, Technical Services and Information Technologies, the scholar's workstation "encompasses the concept of 'seamless' or 'transparent' access by faculty and students to a variety of resources from multifunctional workstations."

However, the advantages of such an information infrastructure are lost on those who do not have the equipment to interact with it readily. Therefore, one recommendation explicitly calls for a campus commitment to provide such access to all who require it.

RECOMMENDATIONS

A. IN PROCESS OR COMPLETED

13. Plan for fullest and most effective utilization of NOTIS by forming a standing sub-committee of the STARS Committee to advise on priorities for adding sub-systems, databases, and bibliographic records in order to improve access to such areas as government documents, microform sets, special-collections materials, the Health Sciences Library, and the Social Sciences Data Lab.

14. Implement STARS acquisitions and serials modules.

15. Assess the needs of faculty and other library users for electronic access and delivery systems. (Note: It is expected that the survey sponsored by the Council on Library Resources, now in progress, will address this need.)

16. Acquire MDAS (Multiple Database Access System) software. The acquisition and licensing of citation and full-text databases should follow as soon as practical.

B. DO NOW (BEGIN FY 1992/93)

17. Begin conversion of the libraries' personal-computer-terminal environment to a networked-workstation environment as soon as possible. For NOTIS, convert staff terminals first, then public terminals. Plan for multifunction workstations to replace discrete, dedicated OCLC, RLIN, NOTIS and desk-top devices.

18. Identify and address policy issues that flow from basing library services in advanced technologies: e.g., whether to charge fees for service.

19. Place library-owned CD-ROM installations in a local area network as soon as possible. Plan to make these resources accessible through a NOTIS interface as technology permits.

20. Implement PACLink in order to provide seamless patron access to the collections of other libraries. [Note: Adequate staffing is an important consideration that must be addressed in implementing this major system.]

21. Assess the practicality of using commercial document-delivery services such as CARL and Citadel.

22. Provide bibliographic access to the rich public library collections on Long Island either through STARS or a CD-ROM network.

C. DO LATER (WITHIN NEXT 2-5 YEARS)

23. The Provost is urged to take steps to promote and initiate the universal workstation environment and universal network access as campus goals. Specifically, coordinate efforts with Computing and Communications administration to ensure that those who need to access local and remote electronic resources will have the means to do so.

24. Survey campus database resources (CD-ROM, tape) with a view to integrating access arrangements. Concurrently, review needs and opportunities for electronic database location and support among campus units.

25. Explore the possibility of sharing certain databases with the other SUNY University Centers.

26. Examine the policies determining what materials are housed in Special Collections in light of its limited access; wherever possible, house selected materials outside Special Collections.

27. Develop a plan for funding acquisition and maintenance of information technologies in the libraries. [Note: It has been difficult to find the significant sums needed to acquire and maintain the growing base of technological systems underlying library operations and services.]

28. Identify, evaluate and implement appropriate technologies that will lead to savings in time and effort on the part of library staff and patrons. [Note: Such technologies might include: expert systems for reference, instruction and orientation; e-mail support for reference questions, reserve placement, ILL; digitization for data conversion, preservation, and distribution.]

D. NEEDS MORE INFORMATION/FURTHER STUDY

29. Provide maximum network connectivity, by way of a library LAN, for all members of staff, commensurate with their functions, to include access to Internet and to NREN as it evolves.

30. Transfer periodicals and newspapers in microform to the Current Periodicals area.

31. Make all services and collections accessible during regular "business hours" at a minimum. This could be done in a variety of ways, including addition of staff or consolidation of functions or service points. Services which do not have regularly scheduled hours or are accessible by appointment only cannot completely meet user needs.

32. Enhance retrieval and evaluation of STARS records by adding tables of contents and/or back-of-book indexes (either as searchable fields, or just as display fields to allow users to evaluate usefulness of particular items) to the records of non-fiction material and collections of stories and essays.

33. Enhance retrieval and evaluation records for fiction by including brief reviews such as appear in Book Review Digest.

III. Develop Human Resources

Library staff have prided themselves on the amazing accomplishments which they have achieved in the thirty-five years of the university's existence. In this relatively short time they have built a respectable research facility and have developed a wide array of support services. They are also aware that the last decade of the twentieth century will be a challenging one. Information needs of library patrons will become larger and more diverse. Technology will play an increasingly large role in the response to these needs. It will offer information in a wide variety of formats, each with its own methodology for access and interpretation. Technology will simultaneously make the work of the librarian simpler and more complex.

The libraries' goal is to maintain its reputation for service while developing a staff capable of functioning effectively and efficiently in the new environment. Flexibility and adaptability will be watchwords in the staff-development process. The objectives of the libraries' personnel program for the coming decade are: recruiting capable, conscientious, and dedicated staff; providing training to enable staff to perform at a consistently high level; and providing incentives to retain those who are exceptional in their performance and achievements.

RECOMMENDATIONS

A. DO NOW (BEGIN FY 1992/93)

34. Emphasize staff training and development, including cross training, as an essential element in organizational change and improvement, with at least the following specific objectives:

a. Keep staff skills up to date, especially with respect to new information delivery systems.

b. Promote a broader understanding of library operations to increase flexibility and enhance ability to "pitch-in" during critical times.

c. Promote projects and procedures that will smoothly cross traditional departmental lines.

35. Until a training and staff development officer can be designated, form a committee to coordinate these functions. The new committee on training and staff development will have the following responsibilities:

a. Collect and disseminate to library staff information about training opportunities and resources outside the libraries, both on and off campus.

b. Coordinate all training activities in the libraries.

c. Ensure that the staff responsible for sharing their skills with other staff have sufficient support and training.

d. Arrange that adequate training facilities are available when needed.

e. Work with the Library Systems Officer to ensure that up-to-date documentation for all library systems is readily available to staff as needed.

f. Disseminate information about library training programs to the campus community.

36. Develop and maintain resources such as a telephone directory which lists, for each library department, the functions performed and by whom.

37. Make appropriate use of campus training resources to train and develop staff skills in the use of the personal computer.

38. Instruct each department head to utilize the communication mechanisms to report activities or decisions in his or her department that might affect other library staff or departments.

39. Document and make widely available, library policies and procedures.

B. DO LATER (WITHIN NEXT 2-5 YEARS)

40. Create adequate training programs to facilitate instruction of large groups in the use of new technology.

41. Develop a formal orientation program (approximately six days long) to be presented to each new library employee.

42. Make provision for periodic reevaluation of staffing needs to make certain that each library unit has the proper staff assigned to accomplish its goals. For example, evaluate the impact of STARS implementation on staffing.

43. Create mechanisms such as a library electronic bulletin board to foster communication across library departments. The communication mechanisms should particularly allow and encourage administrators and department heads to convey to all staff outside their supervisory chain any information that could possibly impact on or be of use to any staff in the libraries (with a contact person indicated)--information such as:

a. A list of topics discussed and/or decisions made at library meetings (administrative, departmental, committee, etc.);

b. New procedures and policies instituted or under discussion;

c. New forms, workflow charts, etc.

C. NEEDS MORE INFORMATION/FURTHER STUDY

44. Assign a staff member in each department to assume the various training tasks required to keep up with the constant change prevalent in our technical environment. Together, these staff members will comprise a "training team" for the libraries as a whole, and should meet regularly in order to foster cooperative training opportunities.

45. Improve interdepartmental communication by having each department designate one or two staff members to serve as departmental contacts. These persons would be responsible for preliminary screening of questions or requests for

information, and they would either respond to them or would refer them to the appropriate person.

D. WISH LIST

46. Assign coordination of training and staff development activities to a full-time officer.

IV. Improve Facilities and Equipment

A goal of the university is to provide library facilities in an attractive environment with adequate space, properly allocated and efficiently arranged. These facilities should be inviting and at the same time reflect the serious purpose of a research institution. They should provide for appropriate housing of the libraries' collections, adequate seating for library users and technological resources consistent with its mission.

The libraries at the University at Stony Brook are in the somewhat enviable position of having a central building with potential for allowing expansion of library facilities; however, the building's design severely restricts the flexibility of using the space effectively and efficiently. That it and most of the buildings housing branch libraries were built during the 1960's and early 70's means that their infrastructures, equipment, and furnishings are showing signs of severe deterioration. Automation has ameliorated some of the difficulties that resulted from the design, but considerable attention needs to be given to significant overhaul.

RECOMMENDATIONS

A. IN PROCESS OR COMPLETED

47. Move ILL office to a new and bigger area with more updated equipment.

48. Increase the number of OCLC workstations and printers in Interlibrary Loan. Sufficient telephone lines, access to All-in-1 and INTERNET, fax machines, and ARIEL capability will be essential. At least one workstation capable of receiving quantities of full-text information for further routing may be required. Implementation of Wizard Mail (the electronic mail enhancement to NOTIS) will facilitate communication with the branches.

B. DO NOW (BEGIN 1992/93)

49. Acquire new and upgraded equipment for all library units, but with particular attention to Interlibrary Loan initially.

50. Create a small committee to examine each functional area of the system and ask: How much space does each have now? How does this compare with norms in major research libraries? How is the need going to change in the next five years? Recommendations could then be made to reconfigure and refurnish space in order to maximize its effective use for both public and staff purposes.

51. Provide sufficient fax equipment and workstations capable of downloading text from network connections (the latter for both patrons and staff).

C. NEEDS MORE INFORMATION/FURTHER STUDY

52. Reconfigure space to facilitate easy access by the public. Circulation, reference and current periodicals room should be adjacent to each other on the first floor with one single entrance.

53. Move offices of technical services to another area to free some space on first floor for public use.

54. For science libraries there are two possible space scenarios:

a. Static situation:

Each science branch library, as possible, will acquire additional space from the building in which it is now located. Less frequently used holdings will be transferred to a main library storage area.

Compact shelves could be installed in the basement or some other area of the main library building for rarely used materials from all library departments.

b. Consolidation to form one science library:

After units presently occupying space on the third and fourth floors of the main library are relocated, there would be ample contiguous area for this purpose.

Thorough study, including consultation with all involved constituencies, should be undertaken before any decision to consolidate existing branch units is made.

V. Increase Public Relations and Development Activities.

Existing activities in the area of public relations and development, as noted by the task force and also in the environmental scan, are minimal. They consist of: design and distribution of a few, mostly informational, publications; a nascent corporate friends of the library; an annual surplus book sale; an annual new-student information desk; occasional solicitation of gifts in kind; and direct interaction by library staff with users. Attention to and improvement of all these modest activities is indicated, with major attention directed to the following: establishment of an active, effective friends organization; production of a high quality outside newsletter; initiation of public interest programs and fund raising events; initiation of a capital campaign; and organization of a program to encourage and increase grant applications.

RECOMMENDATIONS

A. DO NOW (BEGIN FY 1992/93)

55. As an interim measure, assign coordination of public relations activities to one staff member, whose responsibilities should include:

a. Identify campus services available to assist the libraries in public relations activities.

b. Ensure library representation, as appropriate, at campus events.

c. Liaison with the Stony Brook Foundation and University Affairs.

56. Develop the public-relations potential of Special Collections.

B. DO LATER (WITHIN NEXT 2-5 YEARS)

57. Develop a coordinated, uniform public relations image including guidelines for publications, which all public relations efforts reflect and which is presented to the public in every interaction.

58. Identify a committed core group (library retirees?) that will establish a Friends of the Library.

[Implementation note: A senior administrator should be assigned as liaison to the Friends. Also, a library staff member should be assigned as a "resource person" to suggest possible activities, keep up with the library literature on Friends, refer Friends to appropriate library staff, etc.

Once a Friends group is established, the libraries will work with the group to: a) conduct fund-raising activities; b) identify a Friend who would serve as editor of a library newsletter; c) conduct other public relations and development activities, the priorities of which would be decided jointly by the Friends and the libraries.]

59. Increase the emphasis on development and public relations in the libraries and provide adequate staff support.

C. WISH LIST

60. Appoint a full-time library officer for development and public relations, who would work closely with the Stony Brook Foundation.

61. Assign coordination of grant identification and application to one staff member, whose responsibilities should include:

a. Identify grants for which our libraries would be eligible, working with the Stony Brook Foundation and Research Services.

b. Disseminate information about grants to appropriate library staff and encourage applications.

c. Assist staff applying for grants.

62. In coordination with the Stony Brook Foundation, undertake a capital campaign after a Friends of the Library is well established.

VI. Create a More Responsive Organizational Structure

Automation, information technology, shared resources, and customized services coupled with the need to maintain significant traditional functions are but a few of the factors that will shape the organization of the University Libraries in the coming decade. The administrative structure selected for the libraries must be flexible and adaptable to function well in this dynamic environment. The objectives for any effort toward reorganization and restructuring should include (1) placing the primary focus and emphasis on the library user, (2) greater integration of functions within the library, (3) improved efficiency of operations, (4) elimination of redundant operations and procedures and (5) clarification of policies that exist and establishment of policies where they are needed but lacking.

The organization of the University Libraries follows a fairly traditional pattern, with functions divided among public services,

technical services, collection development, and science libraries. Some overlapping of activities has always occurred in libraries and is found even in this model. Automation has accentuated the effects of this overlap. Changes in the organization must address unnecessary redundancy.

Modification of the existing structure should be done wherever it will promote the long range goals of the university. A basic aim in organizational planning will be to recognize the value of certain features of the existing structure while adapting it to respond to the new environment. The following recommendations are intended to guide the libraries' efforts toward reorganization and restructuring.

RECOMMENDATIONS

A. DO NOW (BEGIN FY 1992/93)

63. Examine the administrative structure of the libraries with particular attention to:

a. Eliminating unnecessary layers of administration.

b. Combining functions whenever this would promote efficiency or improve service, e.g., combining personnel and related budget functions.

c. Restructuring functions whenever this would promote efficiency or improve service: e.g., restructure accounting and budgeting operations.

d. Applying automated procedures to local functions such as accounting, budgeting and other business operations; integrating such functions with campus systems when advantageous.

64. Develop an effective organizational structure for systems management, training, documentation, and support.

65. Study the issues involved in the administration and management of the data generated, acquired, and maintained by the libraries.

66. Promote client-centered service by such things as aligning library organization and information services along subject lines as opposed to format or functional lines.

B. DO LATER (NEXT 2-5 YEARS)

67. Include the student employment operation under the management of the library personnel operation in order to centralize all personnel activities in one office.

C. NEEDS MORE INFORMATION/FURTHER STUDY

68. Appoint a full-time Assistant Director for Science Libraries.

IMPLEMENTATION

To provide for orderly implementation of task force recommendations, including review of progress and adjustments to the plan, the following arrangements are established:

1. An Implementation Team will be appointed by the Director to advise and work with library administration on a continuing basis. The Implementation Team will consist of four members from the present Planning Team and four new members. The Director will serve ex officio as chair. Over time, membership of the group may change in response to changing needs. Ad hoc task forces also will be added as required.

2. Library administration, with the advice and assistance of the Implementation Team, will be responsible for developing detailed implementation plans including establishment of priorities for implementation. In cases where the recommendations are general, Library Administration and the Implementation Team will initiate specific actions in support of the general recommendations.

3. A regular strategic-plan column will be featured in the Daily Bulletin. Brief progress updates including announcements of any important actions taken in connection with task force recommendations will be included. A member of the Implementation Team will be designated to edit this column.

4. A formal review of the strategic plan will be conducted annually by the Implementation Team. The first review will take place in September 1993. The Implementation Team will prepare a report containing the following: assessment of progress toward implementation of task force recommendations; identification of problems; and recommended amendments to the plan. The report will be widely circulated for the information of library staff and others.

APPENDICES

NOTE: The appendices consist of the eight task force reports which are available with the master copy in the Director's Office.